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## Department of Defense

# DIRECTIVE

July 29, 1987  
NUMBER 7740.2

ASD(C)

SUBJECT: Automated Information System (AIS) Strategic Planning

- References:
- (a) DoD Instruction 7045.7, "Implementation of the Planning, Programming, and Budgeting System, " May 23, 1984
  - (b) "DoD Master Mobilization Plan, " published by the Office of the Assistant Secretary of Defense (Force Management and Personnel) , June 1, 1982
  - (c) DoD 711 O.1-M, "Department of Defense Budget Guidance Manual, " July, 1985, authorized by DoD Instruction 7110.1, October 30, 1980
  - (d) DoD Directive 7740.1, "DoD Information Resources Management Program, " June 20, 1983

### A. PURPOSE

This Directive supplements guidance in references (a) , (b) , and (c) ; establishes the DoD program for AIS strategic planning; provides policy; and assigns responsibilities.

### B. APPLICABILITY AND SCOPE

1. This Directive applies to the Office of the Secretary of Defense (OSD) , the Military Departments (including the National Guard and Reserve components) , the Organization of the Joint Chiefs of Staff (OJCS) , the Unified and Specified Commands, the Defense Agencies, and DoD Field Activities (hereafter referred to collectively as "DoD Components") .

2. This Directive does not apply to computers embedded in weapons systems.

### C. DEFINITIONS

Terms used in this Directive are defined in enclosure 1.

### D. POLICY

1. It is DoD policy to implement AIS strategic planning to enhance mission performance and provide for the economic and effective management, acquisition, and use of information resources.

2. AIS strategic planning programs must interface with the existing Planning, Programming, and Budgeting System (PPBS) under reference (a) and ensure that AIS strategic plans are appropriately updated to be consistent with the DoD portion of the President's budget and the supporting Information Technology Program exhibits required by reference (c)..

3. At a minimum, AIS strategic planning programs must address information needs over the period covered by the Five-Year Defense Program (FYDP). For longer range AIS planning efforts, DoD Components are encouraged to address information needs over the 15-year period covered by the FYDP and the Extended Planning Annex to the Defense Guidance.

#### E. PROCEDURES

Each DoD Component shall develop AIS strategic planning programs that provide for a structured process to facilitate the identification, validation, and documentation of the information needs, AIS programs, technology requirements, and associated resource requirements necessary to effectively support organizational missions and functions under all operating conditions. At a minimum, AIS strategic planning programs should include a periodic assessment of the information systems environment, address total information needs, and require formal documentation of AIS plans. Each of these elements is amplified below:

1. A periodic assessment of the information systems environment shall be made to evaluate potential improvements in how information needs are currently met, assess the impact of internal and external policy changes on the ability to effectively provide information services, and evaluate AIS technology trends that might impact on the efficiency and effectiveness of current and future information systems.

2. To ensure that total information needs are adequately addressed, AIS strategic planning processes shall be supported by information architectures that address the current, planned, and target AIS environment. Such architectures shall address the information requirements, flows, and system interfaces throughout the organization, including headquarters, major commands, and separate operating agencies.

3. The results of the planning process shall be documented in a Component AIS strategic plan. Such plans should describe the organization's missions and functions, the transition strategy for moving from the current to target information architecture, and the current and future AIS programs and activities, including their *resource* requirements and scheduled milestones necessary to support those organizational missions and functions. More detailed program-specific planning, which incorporates the life-cycle management and systems development principles outlined in established DoD Directives, should be separately accomplished as required. AIS strategic plans shall be updated annually to reflect new programs and major changes to previously approved programs. The annual AIS strategic plan shall support the Component's Program Objective Memorandum (POM) response to the Defense Guidance during the biennial budget year.

#### F. RESPONSIBILITIES

1. The Assistant Secretary of Defense (Comptroller) (ASD(C)), as the senior Information Resources Management (IRM) official for the Department of Defense under DoD Directive 7740.1 (reference (d)), shall:

a. Be the focal point for this policy and ensure that AIS strategic plans comply with this Directive.

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b. Sponsor AIS issues affecting the Department of Defense through the PPBS process, when appropriate.

c. Coordinate functional AIS planning guidance provided by OSD Principal Staff Assistants.

d. Issue other AIS planning guidance as necessary.

2. The OSD Principal Staff Assistants, within their assigned functional areas of responsibility, shall:

a. Provide functional AIS planning guidance, consisting of special instructions and items of particular interest, to the Components for consideration in their AIS planning processes.

b. Participate in the PPBS process to ensure that Component AIS programs appropriately address those AIS issues identified by the OSD functional proponent.

3. The Head of each DoD Component shall:

a. Develop implementing policy and operating procedures that ensure effective AIS strategic planning. Such policies and procedures shall provide for a structured planning process in order to ensure consistency and to permit the integration of subordinate strategic plans into an overall Component strategic plan, when required.

b. Prepare AIS strategic plans that comply with established policies and procedures and review such plans to identify AIS issues that should be addressed during the PPBS process.

c. Identify critical AIS mobilization requirements and ensure the necessary actions are addressed in appropriate program development as well as operational and contingency plans. At a minimum, the impact of the mobilization issues highlighted in enclosure 2 should be evaluated.

d. Maintain an information copy of the Component's approved AIS strategic plan for review by OSD staff upon request.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing documents to the Assistant Secretary of Defense (Comptroller) -- within 120 days.



William H. Taft, IV  
Deputy Secretary of Defense

Enclosures - 2

1. Definitions
2. AIS Mobilization Considerations

DEFINITIONS

1. Automated Information System (AIS). An AIS is a collection of functional user and Automatic Data Processing (ADP) personnel, procedures, and equipment (including Automated Data Processing Equipment (ADPE)) that is designed, built, operated, and maintained to collect, record, process, store, retrieve, and display information.
2. Critical AIS. An AIS whose failure in time of crisis would severely degrade an organization's ability to carry out its chartered functions.
3. Information Architecture. An information architecture documents the information requirements, flows, and system interfaces showing how individual systems fit together to form a comprehensive whole. The architecture provides a description of the current, planned, and target situation within an organization and forms the basis for developing specific program plans and actions.
4. Mobilization. The process by which the Armed Forces or part of them are brought to a state of readiness for war or other national emergency.
5. Strategic Planning. A structured, designed process that produces an integrated plan of action for accomplishing an organization's missions and objectives over a 5-year or longer period. AIS strategic planning develops and documents the agency's direction and specifies the AIS programs and resource requirements necessary to support stated missions and objectives.

AIS MOBILIZATION CONSIDERATIONS

<sup>0</sup> ADP site mobilization and wartime operations requirements, including their workload processing priorities and maintenance requirements, should be identified.

<sup>0</sup> AIS back-up procedures to reduce vulnerability and ensure sustainability of essential data processing should be established.

<sup>0</sup> AIS vulnerability to threats, such as sabotage, should be assessed.

<sup>0</sup> AIS interoperability requirements to enhance continuity of operations should be identified for critical AIS's.

<sup>0</sup> Essential data and/or communications required for effective performance of support functions during mobilization should be examined.

<sup>0</sup> ADP equipment configurations and capacity requirements to support critical AIS functions during mobilization, including surge workload requirements, should be identified.

<sup>0</sup> Wartime and mobilization telecommunications and processing requirements, to include security considerations, should be identified for critical AIS's.

<sup>0</sup> The requirement for rapid change from a peacetime to wartime environment in both classified and unclassified modes should be assessed.

<sup>0</sup> The need for ADP equipment that is transportable in order to meet mobilization requirements should be evaluated.

<sup>0</sup> Critical AIS's should be designed for periodic testing to ensure that they can support their mobilization, crisis, and wartime requirements.